

Grant Contract Proposal Application Guide

and

Policies and Procedures

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Revised April 2010



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POLICIES AND PROCEDURES

INTRODUCTION

The Nebraska Office of Highway Safety (NOHS), a division within the Nebraska Department of Roads, is responsible for the administration and distribution of the State's federal section 402 Highway Safety Funds and other authorized federal highway safety funds. Congress appropriates these funds annually.

These funds are utilized to reduce Nebraska's fatal and serious injury crash rates. Statewide problem identification analysis reveals a wide variety of highway safety problems ranging from human factors to roadway environment. The funding supports projects and activities that contribute to the reduction of traffic crashes resulting in fewer deaths and injuries.

Funding is provided to assist with the implementation of projects, which will address specifically identified traffic-related problems. Specific emphasis areas include alcohol, speed, occupant protection, and youth. **Only political subdivisions and 501c3 non-profit organizations are eligible for funding assistance.**

Project funding assistance may be considered for up to three consecutive years (reapplied for annually). Funding assistance from the NOHS is used as "start up" or "seed money" to implement a project. Upon conclusion of the NOHS funding, it is expected that successful projects will continue.

The NOHS typically provides first year funding assistance to projects at 90% or 100% of the grant contract costs. If the project effectively impacts the identified traffic problems, second year funding may be considered at 75%. If the project continues to demonstrate impact, funding may be considered for a third year at 50% of the first year's cost. The NOHS reserves the right to determine appropriate hard match contributions. The applicant/organization must provide the balance of funding.

The following are the “Policies and Procedures” of the NOHS that are incorporated into each approved grant and/or mini-grant contract. All contractors **must** comply with these “Policies and Procedures” in addition to appropriate state and federal rules and regulations. This guide is located on the NOHS website at www.dmv.ne.gov/highwaysafety or www.transportation.nebraska.gov/nohs.

AUDIT

According to the Office of Management and Budget (OMB) Circular A-133, contractors that receive \$500,000 or more in a year of federal funds must provide a copy of their single audit to NOHS for each federal fiscal year (October 1 – September 30) that federal funds were received. The audit must be submitted by August 1st of the following calendar year. In addition, all grant contractors are subject to a financial and compliance audit by state and/or federal auditors. All documents associated with the grant must be made available at any time for inspection by the NOHS, or their designated representatives. The circulars are located on the NOHS website. If requested, copies of applicable circulars must be furnished.

OMB Circular A-21, Cost Principles for Educational Institutions Relocated to 2 CFR, Part 220
http://www.whitehouse.gov/omb/fedreg/2005/083105_a21.pdf (2CFR, Part 220) (8/31/2005)

OMB Circular A-87, Cost Principles for State, Local and Indian Tribal Governments (07/24/2007)
Relocated to 2 CFR, Part 225
http://www.whitehouse.gov/omb/fedreg/2005/083105_a87.pdf (2 CFR, Part 225)

OMB Circular A-102, Grants and Cooperative Agreements with State and Local Governments
<http://www.whitehouse.gov/omb/circulars/a102/a102.html> (10/1/2005)

OMB Circular A-110, Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations
Relocated to 2 CFR, Part 215 (1/1/2006)
<http://www.whitehouse.gov/omb/circulars/a110/2cfr215-0.pdf> (2 CFR, Part 215)

OMB Circular A-122, Cost Principles for Non-Profit Organizations
Relocated to 2 CFR, Part 230 (7/24/2007)
http://www.whitehouse.gov/omb/fedreg/2005/083105_a122.pdf (2 CFR, Part 230)

OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations
<http://www.whitehouse.gov/omb/circulars/a133/a133.html> (6/27/2003)

<u>Contractor</u>	<u>Administrative</u>	<u>Cost Principles</u>	<u>Audit</u>
Nonprofit Organization	2 CFR, Part 215	2 CFR, Part 230	Circular A-133
College/University	2 CFR, Part 215	2 CFR, Part 220	Circular A-133
State, Local or Tribal Government	Circular A-102	2 CFR, Part 225	Circular A-133

BUDGET

The budget proposal for the project is an estimate, but should specifically describe any cost expenditure. Estimated costs for a project proposal may be categorized according to four **Cost Categories**:

Personal Services	Salaries, benefits, overtime, training and project-related travel expenses.
Contractual Services	Individual consultants, or firms performing services, special studies, or gathering data pertaining to the project.
Commodities	Materials acquired and consumed specifically for the purpose of the grant contract: telephone added as part of the project, printing, postage, videotapes, and office supplies specific to the project.
Other Direct Costs	Rent and special equipment added as part of the project.

Indirect/In-kind Costs

Indirect/In-kind costs are not considered hard match contributions.
Indirect costs are not allowed. (See "Matching Funds")

COMPETITIVE BIDS

All equipment, services, and/or commodities purchased under the grant contract that have unit values in excess of \$500.00 or multiple identical units of equipment and/or commodities procured having a total accumulated value in excess of \$500.00 must be acquired only as a direct result of competitive bids. A minimum of three (3) documented bids are required unless purchased from a State contract. Copies of all competitive bids must be submitted to the NOHS for examination and final approval. Selection of the vendor will be made on an overall economic basis, including but not limited to, the lowest bid. Permission to accept other than the lowest bid must be expressly approved by the NOHS prior to acceptance.

COMPLIANCE

In addition to the policies listed in this guide and in the grant contract document, the grant contractor will comply with all applicable federal and state laws, rules, and regulations.

CONFLICT OF INTEREST

No person performing services for the grant contract will have a financial or other personal interest in any contractor or subcontractor involved in the project other than their employment or retention by the grant contract.

CONTRACT REVISIONS

Grant contract proposals may be amended prior to or after signing. The amendments are not binding unless they are in writing and signed by persons authorized to bind each of the parties. The signature of the NOHS Administrator is necessary to authorize the revision. If additional tasks or costs are authorized in the revision, the contractor must not begin work on the additional tasks or incur the additional costs until the revisions are fully executed. A revision cannot be used to authorize new or different activities not related to the scope of the grant being revised. Revised contracts require revised budget proposals. Copies of revised budget proposals need to be provided to NOHS.

COST ASSUMPTION

The formal cost assumption plan is a detailed description of how the grant contractor plans to continue the project after the NOHS grant funding assistance concludes. Continuation of the project activity may be accomplished with other funding and/or additional agencies' efforts. The cost assumption plan must be in place prior to receiving any funds.

DRIVING POLICY

The policy of the NOHS is to ensure that vehicles are driven legally, safely, and defensively. Contractors and their staff are to carry a valid vehicle operator's license, the required liability insurance, maintain good driving records, and utilize safety belts.

DRUG-FREE WORKPLACE POLICY

All grant contractors and/or their agents are required to have an approved drug-free workplace policy in effect for all employees. An official copy of this policy must be provided with the grant contract proposal. The State of Nebraska is committed to providing an employment environment that is drug-free.

EQUAL EMPLOYMENT OPPORTUNITY (EEO)

Grant contract recipients and/or their agents will not discriminate against any employee or applicant for employment because of race, religion, sex, age, color, national origin, or mental/physical disability. The grant contractor will take affirmative action to ensure that applicants and employees are treated equally without regard to their race, religion, sex, age, color, national origin, or mental/physical disability. The grant contractor and/or their agents shall not discriminate against any person based on race, religion, sex, age,

color, national origin, or mental/physical disability in the use of any property or facility required or developed pursuant to a highway safety contract. The grant contractor and/or their agents shall comply with Title VI and Title VII of the Civil Rights Act of 1964 as amended and all applicable requirements pursuant to regulations of the U.S. Department of Transportation.

GRANT CONTRACT AWARD

Upon receipt of the Grant Contract Award, the Project Director, Authorized Official, and the Financial Officer must sign (in ink), date, and return the grant contract award to the NOHS. The signature of the NOHS Administrator and/or Governor's Representative for Highway Safety authorizes the Grant Contract Award. A copy of the approved Grant Contract Award will be returned to the grant contractor. Receipt of this signed copy provides formal approval of the grant contract. Upon receipt of the formally approved Grant Contract Award, the grant contractor may begin incurring costs according to the terms of the grant contract.

INDIRECT COSTS

Indirect costs are those costs that have been incurred for common or joint purposes. These costs benefit more than one cost objective and cannot be readily identified with a particular final cost objective without effort disproportionate to the results achieved. After direct costs have been determined and assigned directly to Federal awards and other activities as appropriate, indirect costs are those costs remaining to be allocated to benefited cost objectives. A cost may not be allocated to a Federal award as an indirect cost if any other cost incurred for the same purpose, in like circumstances, has been assigned to a Federal award as a direct cost.

LOBBYING

Funding may not be used directly or indirectly to pay for any personal services, advertisement, telegram, email service, telephone, letter, printed or written matter, or other devices intended to influence a member of Congress in acting upon legislation. Federal funds are also prohibited for use in "grassroots" lobbying campaigns that encourage third parties, members of special interest groups, or the general public to contact members of Congress in support of or in opposition to a legislative or appropriations matter. This applies to Congressional and State legislators.

LONG DISTANCE TELEPHONE CALLS

Grant contractors may be required to provide supporting documentation for long distance telephone calls being reimbursed by the NOHS. The supporting documentation will include a listing of all long distance calls, the length of the long distance call and the nature of the long distance call. This information is to be submitted with the monthly Claim for Reimbursement request.

MATCHING FUNDS

The NOHS may require the grant contractor provide a hard match dollar contribution to the project. As an example, if the grant contract requires a 30 percent hard match, the grant contractor must contribute 30 cents of every dollar expended on the project. Indirect/In-kind services are not considered hard match contributions.

MILEAGE

In-state travel expenses may include personal vehicle mileage. Mileage will be reimbursed at the rate allowed by the grant contractor, not to exceed the standard rate established by the Internal Revenue Service. All personal vehicles used for travel must be in compliance with all Nebraska motor vehicle laws.

MINORITY AND WOMEN BUSINESS ENTERPRISES (MBE & WBE)

The grant contractor shall make every effort to consult vendors representing minority and women's business enterprises before expending federal highway safety funds. A minority and women's business enterprise is defined as a small business, which is owned and controlled by socially and economically disadvantaged individuals. "Socially and economically disadvantaged individual" means a citizen of the United States or

person lawfully residing in the United States or its possessions who is a minority or woman regardless of race or ethnicity or any other individual found disadvantaged by the Small Business Administration.

MONITORING OF GRANT CONTRACT

Desk Monitoring -- All grant contract activity and expenditures will be reviewed each month by the NOHS staff. Monthly monitoring occurs when the NOHS project manager reviews the contractor's monthly activity report and monthly Claim for Reimbursement requests.

On-Site Monitoring -- All grant contractors are subject to on-site monitoring visits by the NOHS staff. On-site monitoring visits will be conducted at least annually and may occur more frequently and at any time during the grant contract period. Calls, letters, and occasional meetings are generally not sufficient to adequately monitor a project, particularly those that are more complex. The project manager will need to go on-site to review project status, documents, contractor management, and financial systems annually. This type of in-depth review is called "on-site monitoring" because the project manager must actually go to the location of the project and the offices of the contractor to conduct this monitoring.

OVERTIME

Overtime compensation is not allowed unless expressly pre-approved in writing by the NOHS.

PERSONAL SERVICES/SUPPLANTING

Salaries of personnel paid for in a grant contract must be new **(additional)** positions. The grant contract cannot be used to supplement or replace salaries of existing personnel **(supplanting)**. Exceptions may be considered for grant contracts relating to specific overtime activity. If the grant contract transfers current personnel to the project, the grant contractor must hire and maintain **additional** personnel to fill the vacancy created by the transfer. Whenever the staffing level drops below the grant contract award level, the NOHS reserves the right to deny the personal services reimbursement. In summary, salaries paid under a grant contract should represent payment for personal services **over and above** the existing staffing level of the department, agency, or office.

All personnel funded under the grant contract must be identified by name and date of hire. Any changes in grant contract personnel, reassignments, or terminations must be reported in writing. Payment for personal services may only be reimbursed for work performed within the dates of hire. Work performed prior to the documented hire date or after the documented termination date under the grant contract cannot be reimbursed. Payment can only be reimbursed for personnel specifically identified in the approved budget proposal. For example, if the budget specified, one (1) traffic officer at 100%, reimbursement of personnel expenses cannot be made for two officers, each working 20 hours of a 40-hour shift. Reimbursement can only be made for the one officer.

The NOHS reserves the right to adjust salary levels outlined in the grant contract application that it considers disproportionate for the task. Any fringe benefits, holidays, vacation, sick leave, or compensatory time must be consistent with the state or local unit of government for which the contract is written.

Grant contract funded personnel are to expend 100% of their time in the development, implementation, and evaluation of the activities specified in the approved grant contract unless otherwise expressly approved in writing by the NOHS. Timesheets must be maintained for all grant-funded personnel reflecting the hours worked on and charged to the project. The Weekly Time Report sample is available on the NOHS website. If personnel are funded 100% through the grant contract, their activity must be 100% in support of activities agreed upon in the grant contract award. Payment for grant contract funded personnel performing tasks outside the grant contract will not be reimbursed. For example, grant contract funded traffic officers, are provided to increase the level of traffic law enforcement in a jurisdiction. As such, they are prohibited from providing funeral escorts or parade duty. Special DUI prosecutors are provided solely for the purpose of increasing DUI and other dangerous driving case convictions and relieving the backlog of such cases. They

are prohibited from prosecuting or handling other cases, such as burglary, aggravated assault, etc. utilizing federal highway safety funding.

PRINTED MATERIALS

Materials printed as part of the grant contract shall indicate that the project is sponsored by the NOHS. Materials need to display the NOHS logo and/or words "Funded by the Nebraska Office of Highway Safety" or "Printed with State Highway Safety Funds". All public awareness/education materials developed as a part of a highway safety grant contract are to be submitted in draft to the NOHS for written approval **prior** to production and/or distribution.

The grant contractor reserves a royalty-free, nonexclusive, and irrevocable license to reproduce, publish, or otherwise use and to authorize others to use for federal government purposes: 1) The copyright in any work developed under a grant, subgrant, or contract under a grant or subgrant; and 2) any rights of copyright to which a grantee, subgrantee, or a contractor purchases ownership with grant support.

These items may not be copyrighted without the expressed written permission of the NOHS. One copy of all materials printed as a part of the grant contract must be submitted along with the monthly Claim for Reimbursement request.

PROGRAM INCOME

Definition: Program income means gross income received by the Grantee directly generated by a grant-supported activity or earned only as a result of the grant agreement during the grant period.

Reporting Requirement -- If the funded grant contract **generates income**, the source of the income and the amount must be reported on each Claim for Reimbursement (CR) form submitted to the NOHS. Program income is defined as any income generated as a direct and/or indirect result of the project. Any program income not reported to the NOHS on the monthly CR may be cause for termination of the grant contract. (It is the responsibility of the grant contractor to maintain appropriate accounting records regarding program income.)

Utilization -- Program income may be used to support the project activities as follows:

1. Program income may be used to meet cost sharing or matching requirements of the grant contract agreement.
2. Program income may be placed in a special account and included in the cost assumption plan for project continuation as federal funding decreases. If the project is discontinued, any fund balance in the special account must be returned to the NOHS.

PUBLIC COMMUNICATIONS/PAID ADVERTISING

Costs to purchase program advertising space in the mass communication media is allowable but must be approved in advance by NOHS. This includes the purchase of radio time, television time, billboard rental, and magazine or newspaper advertisements. Television public service announcements should contain closed-captioning of the verbal content.

PURCHASE OF EQUIPMENT (also refer to Competitive Bids)

All equipment purchases must be specifically itemized in the budget proposal. If not included in the original budget proposal, expressed written approval from the NOHS is required prior to any purchase. Competitive bids (a minimum of 3 bids) are required on any equipment purchase in excess of \$500.00. Upon receipt of any equipment purchased with federal funds, the grant contractor must complete an "Equipment Inventory Log" and submit it to the NOHS. The "Equipment Inventory Log" is located on the NOHS website. The grant contractor shall appropriately maintain any equipment purchased under the grant contract. NOHS staff will provide a NOHS inventory tag to be placed on all equipment purchases.

Equipment Purchase/Inventory Procedures - \$5,000.00 or More

- Equipment purchases of \$5,000.00 or more must receive prior written approval from the NHTSA Regional Office.
- Upon receipt of the equipment either by the NOHS or the grantee, an "Equipment Inventory Log" must be completed and forwarded to the NOHS.
- For all equipment purchases over \$5,000.00, the serial number for the item shall be considered the inventory number.
- Annually, the NOHS will forward a physical inventory request form to each contractor requesting physical inventory be conducted of equipment purchases over \$5,000.00.
- No contractor shall dispose of any equipment without written approval from NOHS. Disposal of the equipment will be according to the applicable State and Federal regulations.

Equipment purchased with federal funds that has a market value of more than \$1,000.00 or has any useful life remaining and is not fully depreciated may not be disposed of in any manner by the grant contractor without the expressed written approval of the NOHS. Should a grant contractor desire to dispose of such equipment, the grant contractor will immediately notify the NOHS. Disposal of the property will be according to applicable state and federal regulations. All grant contract funded purchases must be requested, purchased, invoiced, and delivered prior to the end of the grant fiscal year, September 30.

RECORD RETENTION

The grant contractor shall maintain separate, detailed, and accurate financial records for all costs related to the grant contract. If the grant contractor generates income, records of this income must be maintained. All project records must be maintained for at least three (3) years following the termination of the grant contract. An audit may be conducted during this period. Any questions concerning required financial records should be directed to the NOHS.

REIMBURSEMENT PROCEDURES

All costs associated with the grant contract will be reimbursed **after** the expenses have been incurred. The Claim for Reimbursement (CR) is the form used to request monthly reimbursement. (See Attachment C) The CR form is available on the NOHS website. The following are instructions for submitting the CR:

- The contractor must submit a separate CR form **monthly**. On the form, indicate: a) Your agency as the grant contractor; b) grant contract number; c) grant contract title; and d) the month in which expenses were incurred.
- Indicate the expenditures incurred during the month claimed.
- Expenditures should be shown for previous months and total expenditures for the fiscal year.
- Monthly program income generated by the grant contract **must** be reported separately in addition to the program income balance (if applicable).
- The Project Director and Authorizing Official must sign (in ink) and date the CR form.
- Reimbursement will not be considered if not accompanied by appropriate supporting documentation such as but not limited to:
 - Weekly time reports, itemized personal services breakdown (available on NOHS website), invoices/statements, receipts, canceled checks or credit card statements, equipment inventory log, and competitive bids.
- Submit the original of the completed CR to the NOHS.
- The **cutoff** date for processing the CR is the **15th of each month**.
- A final claim for each grant contract must be submitted by November 15th of the following fiscal year. The Claim for Reimbursement must be checked "**Final Claim**".

Upon receipt of the CR, the project manager reviews all expenditures and supporting documentation to ensure accuracy, completeness, and that all reimbursement requests are eligible as authorized expenditures contained in the project budget.

After reviewing the CR the project manager approves the request by signing or initialing and dating the CR. Upon approval by the project manager, the CR is forwarded to the NOHS Supervisor and then sent to the Administrator or his/her designee for approval and then routed to the NOHS Accountant.

REPORTS

Monthly Report -- All grant contractors must submit a monthly activity report to the NOHS by the **15th of each month** unless otherwise expressly approved by the NOHS. The monthly report shall contain the same goals and objectives as in the Grant Contract Proposal. Each goal/objective/strategy must be addressed in the monthly activity report in the same format as the proposal. Claims (CR) for reimbursement may be held if the grant contract recipient is delinquent in the submission of reports.

Items in the monthly report may or may not include copies of publications, training reports, and any statistical data generated. Monthly reports should also include the following:

1. Any and all completed studies.
2. Equipment purchased must be identified.
3. Any unanticipated issues that affected the project.
4. Third party performance if applicable.
5. A copy of any consultants' reports should be included.

Annual Report -- Annual reports are due from grant contractors to the NOHS no later than the **second Thursday in November** of the following fiscal year the grant ended (Attachment B). The Annual Report must contain the following:

1. All accomplishments and activities utilized to meet the goals/objectives outlined in the Grant Contract Proposal application.
2. Each objective must be addressed.
3. The project's measurable impact on traffic safety must be included.
4. The annual report should be no longer than two pages in length and include all of the above.

*The Annual Report Template is available on the NOHS website at:
http://www.dmv.ne.gov/highwaysafety/contract.html#Annual_Report_Format_Form

REVISIONS

All requests for revisions to the grant contract must be made in writing to the NOHS and expressly approved in writing by the NOHS **prior to** implementation. Retroactive approval of revisions will not be granted; costs incurred in such situations will not be reimbursed.

SAFETY BELT POLICY

All grant contractors and/or their agents must have in effect an approved safety belt use policy for all employees and staff. The policy must be actively enforced, and an official copy of this policy must be provided with the grant contract proposal.

SERVICE CONTRACTS/CONTRACTUAL SERVICES

Subcontracts entered into by the grant contractor shall be awarded according to the provision of all applicable federal and state laws, rules, and regulations. **Prior expressed written approval is necessary from the NOHS before the initial grant contractor may enter into any secondary contract (mini-grant contract/sub-contract) unless specifically described in the original grant contract application.** A detailed description must be provided in the original grant application on the activities of the contractual service(s).

TERMINATION OF GRANT CONTRACT

If, through any cause, the grant contractor shall fail to fulfill in timely and proper manner its obligation under the awarded grant contract or if the grant contractor shall violate any of the covenants, agreements, or stipulations of this contract, the NOHS shall thereupon have the right to terminate this contract and withhold further reimbursement/payment of any kind by giving written notice to the grant contractor of such termination and specifying the effective date thereof, at least thirty (30) days before such date. The NOHS shall be the sole arbitrator of whether the grant contractor or its subcontractor is performing its work in a proper manner with reference to the quality of work performed by the grant contractor or its subcontractor under the provisions of this contract. The grant contractor and the NOHS further agree that either party may terminate this contract by giving written notice of such termination and specifying the effective date thereof, at least thirty (30) days before such date.

TRAINING/CONFERENCES

The costs associated with attending training and/or conferences may be allowable **when included in the grant contract budget proposal**. The training/conference subject matter must compliment the activity of the grant contract. Allowable costs include: transportation, lodging, and registration fee. Reimbursement for a rental vehicle is rare and must be expressly approved by NOHS in writing in advance.

Reimbursement for out-of-state travel expenses by contractors requires prior written approval by the NOHS. To request approval for out-of-state travel, a contractor must complete the following:

1. Ensure the grant contract proposal application includes a provision for the travel and there are sufficient funds to cover the cost of the travel.
2. If not included in the original grant contract budget, a request for out-of-state travel must be submitted to the NOHS for expressed approval at least 30 days prior to travel. The request must include the following:
 - The participant's name.
 - Date, description, and location of the training/conference and a copy of the agenda.
 - An itemized breakdown of all expenses associated with the training/conference.
 - A statement why the training/conference is needed and how the project will benefit.
 - If the training has pass/fail criteria, the participant must successfully complete the course and submit a copy of the course completion certificate to be eligible for reimbursement.
 - A written evaluation of the training/conference must be submitted with the monthly report.

TRAVEL

Out-of-State Travel -- All out-of-state travel must be approved as defined under "Training/Conferences."

In-State Travel – In-state travel "may" include lodging, meals, and mileage (see mileage). If not included in the original grant contract budget, a request for in-state travel expenses must be submitted to the NOHS for approval at least 30 days prior to travel.

GRANT CONTRACT PROPOSAL APPLICATION GUIDE

The Nebraska Office of Highway Safety (NOHS) is responsible for the planning, administration, and evaluation of the state's federal highway safety funding and other special traffic safety funding that is authorized by Congress. Federal funding is provided to assist states and their counties and communities initiate projects, which direct activity toward resolving identified and prioritized traffic safety problems. **Only political subdivisions and 501c3 non-profit organizations are eligible for funding assistance.** Through analysis of crash data, the following 22 counties and their communities have been identified as "Priority Counties" for fiscal year 2011.

Adams	Dodge	Madison	Scotts Bluff
Box Butte	Douglas	Otoe	Seward
Buffalo	Gage	Platte	Washington
Cass	Hall	Saline	York
Custer	Lancaster	Sarpy	
Dawson	Lincoln	Saunders	

The following program guidelines focus federal funding assistance in those areas that have a maximum probability of reducing death and injury on roadways. Nebraska's emphasis areas to be addressed with 402 federal traffic safety funds include: **alcohol, speed, occupant protection, and youth.** Project activity should be directed toward one or more of the identified emphasis areas. Activity must focus on the reduction of fatal and serious injury type crashes. (See Attachment A)

Grant contract expenditures must meet the following criteria:

1. Increase rather than replace existing activities.
2. Represent an additional cost.
3. Be necessary, reasonable and supported in the budget narrative.
4. Be eligible expenses under local, state, and federal laws/regulations.

The following items are not eligible for grant contract funding (unallowable costs):

1. Highway maintenance, construction, or design.
2. Office furniture and fixtures.
3. Land.
4. Regulatory traffic signs.
5. Alcoholic beverages.
6. Entertainment.
7. Lobbying costs.

Applicants are encouraged to "leverage" funds requested from the NOHS with staff, financial, or other resources which they are able to contribute to the proposed project. Funding assistance is intended to be used as "start up" or "seed money" to implement a project. Project activity that is successful is expected to continue after the NOHS funding assistance ends. Projects may be considered for funding assistance for up to three consecutive years with annual grant contracts between the NOHS and the funded project. In the first year, the NOHS typically provides funding assistance to projects at 90% or 100%. If a second year is applied for, it is considered for no more than 75% of the first year project cost. In the event a third year is applied for, no more than 50% of the first year costs will be considered. The applicant must provide the remaining funding.

A cost assumption plan is required as part of the initial application. The cost assumption plan is a detailed description of how the applicant plans to continue the project activity after the NOHS funding assistance ends. Continuation of project activity may be accomplished with other funding and/or additional agencies' efforts.

These instructions provide potential applicants with the appropriate format needed to prepare a project proposal. Listed below are the individual components necessary: the entire request should be no more than four (4) pages in length. A description of each component is provided.

- A. PROJECT TITLE AND SUMMARY
- B. ORGANIZATIONAL BACKGROUND
- C. PROBLEM IDENTIFICATION
- D. GOAL
- E. OBJECTIVES
- F. STRATEGIES
- G. EVALUATION
- H. BUDGET PROPOSAL/BUDGET NARRATIVE
- I. COST ASSUMPTION

The Nebraska Office of Highway Safety (NOHS) Staff will review every application submitted by the due date in accordance with the selection criteria and points system listed below. Each applicant will be notified of project approval or denial no later than June 30. Grant Contracts will be funded contingent upon receipt of funds from federal sources and approval based on project merit. The "Grant Contract Period" should not exceed 1-year, as grants must be applied for annually. Approved projects will begin project activity October 1st.

A. PROJECT TITLE AND SUMMARY

Select a name for the proposed project. The summary should provide a **clear and concise** overview of the request. It should appear at the beginning of the proposal, although it will be the last item completed during preparation. The summary should include:

1. Identification of the applicant/organization.
2. The reason for the project, the issue, problem, or need to be met.
3. The goal of the project.
4. The objectives to be achieved.
5. The kinds of activities to be conducted to accomplish the objectives.
6. The total cost of the project, funds already committed, and the amount requested in the proposal.

B. ORGANIZATIONAL BACKGROUND

This section is one or two short paragraphs of background information and history about the applicant's organization providing credibility.

C. PROBLEM IDENTIFICATION

Problem identification is the most critical part of the proposed project. It represents the justification for the proposal and focuses on the conditions that the applicant/organization wishes to change. Problem identification looks at a particular situation and identifies the cause of the problem.

1. Include three (3) years of baseline information. Data may include statistics on crashes, injuries, fatalities, DWI and moving violation contacts, specific time periods, roadway types, driver age, or other crash-related statistics that support the problem. Crash statistics summarized by county are available on the NOHS website.
2. Isolate the cause(s) of the actual problem. Be specific.
3. Identify the targeted population (i.e., drivers ages 16-20).
4. Define the targeted geographic area, if applicable.
5. Select and describe a situation within the NOHS's scope where positive performance outcomes are expected.

6. Identifies a problem within the NOHS's scope.

D. GOAL

The anticipated long-term results of the project must impact one or more of the following emphasis areas:

Overall Goal: Fatal, A and B Injury Crashes

Reduce Fatal, A and B Injury Crashes by 4% (5,273) in CY2011.

Alcohol-related fatal and serious (*A & B type) injury crashes:

Reduce Alcohol-Related Fatal, A and B Injury Crashes by 4% (636) in CY2011.

Occupant restraint use:

Increase the observed Occupant Restraint Usage Rate to 85.7% in CY2011.

Speed-related fatal and serious (*A & B type) injury crashes:

Reduce Speed-Related Fatal, A and B Injury Crashes by 4% (408) in CY2011.

Youth (ages 16-20) involved fatal and serious (*A & B type) injury crashes:

Reduce Youth-Involved Fatal, A and B Injury Crashes by 4% (1,689) in CY2011.

*Injury type: A – disabling; B – visible but not disabling

E. OBJECTIVES

In order for any project to be successful, it must contain measurable end results. The most useful objectives tell **who** is going to be doing **what, when, how much, and how** it will be measured.

1. Describe objective to address problem.
2. Describe the objectives in numerical/measurable terms.
3. Actual numbers using baseline data must support percentages.
4. Do not describe strategies.

*Sample of objective:

Increase alcohol-related arrests by 4%, from 200 to 208.

(More samples can be found on page 15)

F. STRATEGIES

The next step is to identify the strategies (activities) used to achieve the objectives. The strategies should flow naturally from the problems and implement the objectives.

1. Clearly describe the activities.
2. List activities in sequence.
3. Present reasonable activities that can be accomplished within the time allotted for the project and include completion dates.

*Sample of strategy:

Schedule 10 presentations throughout the grant contract period with all of the county's schools grades 8 through 12.

Completion Date: December 31, 2010

(More samples can be found on page 16)

G. EVALUATION

Comprehensive evaluation involves an analysis of whether the project has achieved its stated objectives. It also involves an analysis of the role project activities have played in the accomplishment of those objectives.

1. List final products.
2. Each objective must be evaluated to determine success.
3. Describe data gathering methods.
4. Describe the process of data analysis.
5. Show how evaluation will be used for project improvements.
6. Describe evaluation reports to be produced.

H. BUDGET PROPOSAL/BUDGET NARRATIVE

The proposed budget for the project is an estimate, but should be as specific as possible in identifying cost

items. Examples of estimated costs for a project proposal include: costs of materials acquired and consumed specifically for the purpose of the contract, telephone added as part of the project, printing, postage, videotapes, office supplies, costs of office space, and special equipment added as part of the project. Promotional items and activities must directly relate to the project objectives offering incentives or encouraging the target audience to adopt specific practices. Avoid using the terms "miscellaneous" or "etc". Include a "budget narrative" which includes explanation of each item listed in the budget proposal.

1. Estimate the costs of the project as accurately as possible.
2. Include reasonable, necessary, and appropriate costs.
3. Justify the costs to anticipated results.
4. Indirect/In-kind costs are not allowed and should not be listed.
5. Provide a budget narrative for each cost listed including out-of-state travel.

I. COST ASSUMPTION

This is an important item on the application because federal highway safety funds are intended to begin worthwhile activities, which will be continued after federal funding assistance is terminated. The applicant/organization must provide a long-term cost assumption plan **detailing** how project activity will be continued. Continuation of project activity may be accomplished with other funding and/or additional agencies' efforts.

1. Describe the agency's resources to match funding.
2. Provide a matching plan for requested federal funds.
3. Describe how the project will reach self-sufficiency.

OTHER ITEMS TO BE SUBMITTED WITH GRANT CONTACT APPLICATION

The attached "Grant Contract Proposal Cover" must be completed including the required signatures and submitted with the application along with copies of the agency's current Drug-Free Workplace Policy and Seat Belt Use Policy. The "Grant Contract Proposal Cover" template is available on the NOHS website.

DEADLINE

Proposals must be received by the NOHS **on or before May 31** for consideration in the project year 2011 beginning October 1st, 2010.

FOR FURTHER INFORMATION OR ASSISTANCE PLEASE CONTACT:

Nebraska Office of Highway Safety
c/o Nebraska Department of Roads
5001 South 14th Street, Room 158
P.O. Box 94612
Lincoln, Nebraska 68509-4612

Telephone: 402/471-2515
FAX: 402/471-3865
E-mail: linda.kearns@nebraska.gov



Grant Contract Proposal Cover

Applicant/Organization:	_____
Project Director:	_____
Address:	_____
City, State, Zip:	_____
Telephone (include Area Code):	_____
E-mail:	_____
Fax:	_____
Federal Identification No. (FID):	_____

Project Title:	_____
Grant Contract Period:	_____

_____ <i>Signature of Authorized Official</i>	_____ <i>Typed Name and Title</i>	_____ <i>Date</i>
_____ <i>Signature of Financial Officer</i>	_____ <i>Typed Name and Title</i>	_____ <i>Date</i>

Attachment A

PROJECT TITLE

SUMMARY

The Center County Health Department is dedicated to the reduction of trauma related death and injury in Center County. During 2009 the alcohol-related fatal, A and B type injury crash rate was _____ which is above the State rate of _____. The Center County Health Department officials support the formation of an impaired driving program to assist in reducing alcohol-related fatal, A and B type injury crashes. In order to implement the impaired driving program, a coordinator for the project is needed. Utilizing the coordinator, program objectives would result in a 5% reduction, from _____ to _____, in the alcohol-related fatal, A and B type injury crashes. Activities will include establishing a designated driver program within the County, working with the Safe Communities Coalition, working with on and off sale licensed liquor establishments, special permit events and high schools within the county. The total cost of the project would be \$38,300, \$11,000 to be furnished by Center County, \$800 from the Center Chamber of Commerce, and \$26,500 from the Nebraska Office of Highway Safety.

ORGANIZATIONAL BACKGROUND

The Center County Health Department consists of 18 employees with contacts from the public, private, and nonprofit sectors dedicated to the reduction of unintentional injuries. Since its inception in 1952, the Center County Health Department has continuously strengthened its networking system. The Center County Health Department currently works with the school system, local law enforcement agencies, and businesses within the county.

PROBLEM IDENTIFICATION

In Center County, the alcohol-related fatal, A and B type injury crash rate exceeds the State rate. Alcohol-related fatal, A and B type injury crashes averaged _____ in 2007-2009. During the same previous three-year period, _____ citations have been written by local law enforcement for impaired driving and there have been _____ convictions for impaired driving. The residents within Center County will benefit from an intense countywide educational effort focused on impaired driving. Local law enforcement, the prosecuting attorney's office, and licensed liquor establishments have agreed to participate in the County's Safe Communities Coalition to combat this problem. In order to impact this problem within the county, the number of impaired drivers utilizing the county's roadways must be reduced.

GOAL

The goal of this project is to reduce the number of alcohol-related fatal, A and B type injury crashes during the funding period by 5%, from _____ to _____.

OBJECTIVES

Bring together specific individuals within the county to participate in a Safe Communities Coalition. This group will assist in educational efforts and activities addressing the county's impaired driving problem. Law enforcement will be a critical component by actively enforcing the county's impaired driving laws. The prosecuting attorney's office will also be an essential collaborator in prosecuting impaired drivers.

1. Increase public knowledge of the impaired driving problem by ____%.
2. Increase alcohol-related arrests by _____%, from _____ to _____.
3. Increase the conviction rate for alcohol-related offenses by _____%, from _____ to _____.
4. Establish a designated driver program within the county with _____ participating businesses.
5. Reach 75% or _____ of the county's youth, ages 15 - 19, with an educational impaired driving message.

STRATEGIES

1. Select and hire a coordinator.
Completion Date: October 15, 2010
2. Solicit interest within the community (i.e. organizations, county and city officials, law enforcement, schools, etc.) for inclusion in the Safe Communities Coalition.
Completion Date: October 31, 2010
3. Schedule and hold the initial meeting of the Safe Communities Coalition to address the issue of impaired driving.
Completion Date: November 15, 2010
4. Conduct a public opinion survey regarding knowledge and attitude of the impaired driving problem.
Completion Date: January 1, 2011
5. Solicit the county's law enforcement agencies for participation in selective alcohol overtime enforcement activities. The funding for the selective alcohol overtime may be obtained through the Nebraska Office of Highway Safety by entering into a Mini-Grant Contract. Overtime enforcement dates will be selected for the time frame from December 1, 2010 through September 30, 2011.
Completion Date: September 30, 2010
6. Conduct # meeting/training sessions with the county's prosecutors to present the concept of aggressively prosecuting all alcohol-related traffic offenses.
Completion Date: December 15, 2010
7. Obtain listings through the State's liquor commission of all licensed on and off sale liquor establishments.
Completion Date: October 15, 2010
8. Contract with an advertising company to create the materials for a designated driver campaign.
Completion Date: October 31, 2010
9. Utilizing the listing of licensed drinking establishments; contact each business to promote their participation in the designated driver campaign.
Completion Date: December 1, 2010
10. Contact the Nebraska Office of Highway Safety and/or any other resources, to obtain impaired driving related materials targeted toward youth.
Completion Date: November 15, 2010
11. Schedule # presentations throughout the grant contract period with all of the county's schools grades 8 through 12.
Completion Date: December 31, 2010
12. Coordinate monthly meetings for the Safe Communities Coalition.
Completion Date: September 30, 2011
13. Conduct a follow-up public opinion survey.
Completion Date: August 31, 2011
14. Ongoing contact with law enforcement, prosecutors and schools will continue throughout the project.
Completion Date: September 30, 2011

EVALUATION

1. An administrative evaluation will be completed at the conclusion of the project period to measure actual activities, tasks, and expenditures against those planned.
2. Crash data in the 12-month project period will be compared to crash data in the previous 12 month period to determine if the overall goal to decrease alcohol-related fatal, A and B type injury crashes by 5%, from ____ to ____ was achieved.
3. Compare the two county wide public knowledge and attitude surveys to determine if public knowledge increased by ____%.
4. Compile and compare arrest and conviction data to determine if increases occurred.
5. Determine if # businesses participated in the designated driver program.
5. Determine if 75% of the county's youth were reached through presentations.

BUDGET PROPOSAL (Sample 1)

	Federal Funds	Grant Contractor Funds
Salary/Coordinator	\$21,500.00	\$7,500.00
Travel	\$500.00	\$0.00
Public Opinion Surveys	\$1,000.00	\$0.00
Designated Driving Campaign	\$2,500.00	\$0.00
Rent, Utilities	\$0.00	\$4,300.00
Training Materials	\$1,000.00	\$0.00
TOTAL	\$26,500.00	\$11,800.00

BUDGET NARRATIVE

Salary/Coordinator: Full time position to work with law enforcement, county prosecutors, State Liquor Commission, licensed drinking establishments, schools, and to solicit interest and participation in a Safe Communities Coalition.

Travel: Mileage to be reimbursed for travel within the county to promote project goals and activities. Out-of-State Travel: Costs that include transportation, lodging, and registration fees to attend training/conferences.

Public Opinion Surveys: A 20-question public opinion survey of 300 people will be conducted regarding knowledge and attitude of the impaired driving problem in Center County.

Designated Driver Campaign: Contract with an advertising company to design and create materials for a designated driver campaign.

Rent, Utilities: Rent and utilities will be provided by the Center County Health Department as a match to federal funding.

Training Materials: To produce training materials for two (2) training sessions with the county prosecutors and law enforcement to present the concept of aggressively prosecuting all alcohol-related offenses.

COST ASSUMPTION

The Center County Health Department will continue the designated driver program after federal funding assistance is terminated. Prior to the end of the grant award, a copy of the agency's budget request containing funding of the position and activity will be provided to NOHS. The long-term costs to continue the project will be for personal services for the coordinator. The Center County Health Department will request funding assistance from the county attorney office's driver diversion (STOP) program in the final year of the funded project. Businesses and organizations participating in the Safe Communities Coalition will also be requested to contribute financially to the future of this community project.

Attachment B (Annual Report Template)

(Font Type Tahoma 10pt)(Email to NOHS in Word format)

Annual Report	Nebraska
----------------------	-----------------

Name of Project Agency	00-00
-----------------------------------	--------------

Program Area: Project Characteristics: Type of Jurisdiction: Jurisdiction Size: Target Population:
--

Problem Identification:

Goal and Objective:

Strategies and Activities:

-
-
-
-
-

Results:

-
-
-

Funding:	Section 402:	\$ 0.00
	Other	\$ 0.00

Contact: Name, Agency, Address, Town, State, Zip Code
Telephone: 402/ Fax: 402/ E-mail:

Grant Contract Claim for Reimbursement



Nebraska Office of Highway Safety - NDOR
P.O. Box 94612, Lincoln, NE 68509-4612
(402) 471-2515 FAX: (402) 471-3865

Contractor:	Telephone:	Contract #:
Contract Title:	Month of Expenditures:	Final Claim <input type="checkbox"/>

NOHS USE ONLY

	Federal Share
Total Expenditures	
Program Income	
Net Amount	

PROJECT FINANCIAL SUMMARY

Current Month Expenditure	Previous Months Expenditures	Total Expenditures to Date

NOTE: Supporting documentation for all expenditures above must be attached.

CERTIFICATION:

I hereby certify the foregoing document is consistent with the terms of the grant contract and is a true and accurate accounting of the expenditures.

Signature of Project Director

Signature of Authorized Official

Type/Print Name and Title

Type/Print Name and Title

Date

Date

NOHS USE ONLY

Total Reimbursement	
Project Manager Review Initial/Date	
Supervisor Review Initial/Date	
Administrator Review Initials/Date	
Local %	
Accountant Date Paid/Initial	
Warrant #	

NDOR DOC#	
AB#	
TRANS	OE
ACTIVITY	ACCOUNT
NIGP	DATE
APPROVED (PRINT NAME) Fred E Zwonechek	
APPROVED SIGNATURE	
NOHS Project	Amount:

Distribution: Original to NOHS
Make Copy for Your File

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Mini-Grant Contract Claim for Reimbursement



To: Nebraska Office of Highway Safety - NDOR P.O. Box 94612, Lincoln, NE 68509-4612 Telephone No.: 402-471-2515 FAX: 402-471-3865	Date:
--	--------------

From: Agency: Address: City, State, Zip: Telephone No.: Contact Person: E-Mail:	Invoice Number: Project Number:
---	--

REIMBURSEMENT REQUEST

Description			Amount
NOTE: To process this reimbursement all supporting documentation listed on the Mini-Grant Contract must be attached.			Total

Current Claim Amount	Previous Claim Total <small>*Only use if previous claim has been made on this project.</small>	Total Claim to Date

CERTIFICATION

I hereby certify the foregoing document is consistent with the terms of the mini-grant and is a true and accurate accounting of the expenditures.

Signature of Authorized Official	Type/Print Name and Title	Date
----------------------------------	---------------------------	------

NOHS USE ONLY

Total Reimbursement		NDOR DOC#	
Project Manager Review Initial/Date		AB#	
Supervisor Review Initial/Date		TRANS	OE
Administrator Review Initial/Date		ACTIVITY	ACCOUNT
Local %		NIGP	DATE
Accountant Date Paid/Initial		APPROVED (PRINT NAME) Fred E Zwonechek	
Warrant #		APPROVED SIGNATURE	
		NOHS Project:	Amount:

Distribution: Original to NOHS
Copy for Your File

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